



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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#151/2

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

Complete if Known

Application Number	09/741,948
Filing Date	12/20/2000
First Named Inventor	
Art Unit	5737
Examiner Name	Wood
Attorney Docket Number	EBB0001

MS Non-Fee Amendment
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

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Sirs:

Pursuant to the guidelines for Information Disclosure Statements set forth in 37 C.F.R. §§ 1.97-1.98 and MPEP § 609, Applicant submits herewith patents, publications, or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty of disclosure in accordance with 37 C.F.R. 1.56.

A list of patent(s) and/or publications(s) is set forth on the attached Form PTO/SB/08A and/or 08B. A copy of each item listed is supplied herewith, unless filed after June 30, 2003 (the requirement under 37 CFR 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication has been waived for all U.S. national patent applications).

It is submitted that these references do not disclose, teach, or suggest the present invention and thus the claims herein are patently distinct therefrom.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. 1.56, it is not intended to constitute an admission that any patent, publication, or other information referred to therein is "prior art" for this invention unless specifically designated as such.

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(A)

I hereby certify this correspondence, paper and/or fee is being deposited with the United States Postal Service as "First Class Mail" to addressee under 37 C.F.R. 1.8(a) in an envelope addressed to: MS Non-Fee Amendment, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

on January 23, 2004

by

Rudolph J. Buchel Jr.

The filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. 1.56(a) exists.

The information disclosure statement submitted herewith is being filed in accordance with:

- ☐ 37 CFR § 1.97 (b) and is filed by the applicant within any one of the following time periods:
- (1) Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR § 1.53(d);
 - (2) Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;
 - (3) Before the mailing of a first Office action on the merits; or
 - (4) Before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.
- ☒ 37 CFR § 1.97 (c) and filed after the period specified in paragraph (b), but is filed before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and it is accompanied by one of:
- ☒ (1) The statement specified in 37 CFR § 1.97 (e); or
 - ☐ (2) The fee set forth in 37 CFR § 1.17(p).
- ☐ 37 CFR § 1.97 (d) and is filed by the applicant after the period specified in paragraph (c) of this section, and is filed on or before payment of the issue fee and is accompanied by the statement specified in paragraph (e) and the fee set forth in 37 CFR § 1.17 (p).

The statement under 37 CFR § 1.97 (e):

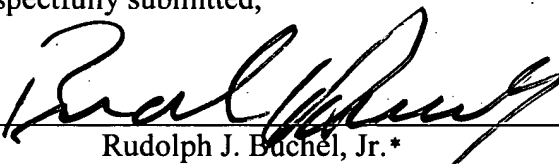
- ☐ (1) That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or
- ☒ (2) That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

The filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

The person making this statement is the practitioner who signs below.

DATE: January 23, 2004

Respectfully submitted,



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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/539,132
Filing Date	3/30/2000
First Named Inventor	McDonough
Art Unit	2164
Examiner Name	Felton
Attorney Docket Number	CMCDO.00001

Sheet 1 of 1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		CHANG, et al, "The Pricing of Futures Contracts and the Arbitrage Pricing Theory," Journal of Financial Research, v13n4, pp: 297- 306 1990.	
		POLAKOFF et al, "A Comparison of Foreign Exchange Forward and Futures Prices," Journal of Banking & Finance v15n6, pp:1057-1080, Dec. 1991.	
		KRITZMAN, "What Practitioners Need to Know about Currencies", Financial Analysts Journal v48n2 pp 27 30 Mar/Apr 1992.	
		SCOTT, "The Information Content of Prices in Derivative Security Markets," International Monetary Fund Staff Papers, v39n3, pp: 596-625, Sept 1992.	
		"The Fed, fiscal years and the options on futures", Financial Post, November 16, 1999.	
		FREEMAN, "Price Risk and the Agricultural Futures Markets," Food Marketing, v3n3, pp: 18-27, 1987.	
		FRENCH, "A Comparison of Futures and Forward Prices," Journal of Financial Economics, v12n3, pp: 311-342, Nov 1983.	
		JARROW et al, "Contracts and Futures Contracts, Journal of Financial Economics," v9n4, pp: 373-382, Dec 1981.	
		CHALUPA, "Foreign Currency Futures: Reducing Foreign Exchange Risk," Economic Perspectives, v6n3, pp: 3-11, 1982.	
		PARK et al, "Differences Between Futures and Forward Prices," Journal of Futures Markets, v5n1, pp: 77-88, 1986.	
		AGGARWAL et al, "Corporate Use of Options and Futures in Foreign Exchange Management," Journal of Cash Management, v9n6, pp: 61-66, Nov/Dec 1989.	
		BLANKEY et al, "Accounting for derivatives under SFAS no. 133," Mid-Atlantic Journal of Business, v36n1, pp: 17-35, Mar 2000.	

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Signature

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.